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Mass Transportation Capital Improvement Grants

Information for Applicants

**Division of Public Transportation
Illinois Department of Transportation
July 1974**

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Introduction

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INTRODUCTION

"Support for public transportation is a top priority of this administration. I believe it is essential that we build and improve public transportation throughout the State."

Governor Dan Walker

A principal element of the State of Illinois' continuing support for public transportation growth and improvement is contained in the State's program of grants for capital improvements.

Since the beginning of this program in 1971, the State has approved over \$123 million in grants for capital investment in public transportation equipment and facilities throughout Illinois. It has made public transportation services available to millions of people with safe, modern, and efficient equipment and has prevented, to no small extent, the collapse of many public transportation systems.

This manual, which supersedes all previous manuals, describes the State's Capital Improvement Grant Program and outlines application procedures and requirements. The legislation which established the program, and under which it is administered, is contained in a separate section at the rear of the manual.

The capital grant program is administered by the Illinois Department of Transportation's Division of Public Transportation. Questions and correspondence should be directed to:

Division of Public Transportation
300 North State Street, Room 1002
Chicago, Illinois 60610

(312) 793-2111

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GOALS AND OBJECTIVES

The overall goals of the Illinois Mass Transportation Grant Program are to preserve, renew and improve existing mass transportation systems and to encourage the development of new mass transportation systems that are necessary for the comfort, convenience and well-being of the State's people and for the benefit of its economy. The program is aimed at:

- ensuring the maintenance and development of sound mass transportation systems necessary for the balanced growth of the State's urban areas,
- promoting and assuring rapid, efficient and safe mass transportation services,
- facilitating the movement of the elderly, the young, the poor and the disabled,
- alleviating the increasing traffic congestion associated with urban areas, and
- improving the environment through the reduction of air, water and noise pollution.

In addition to the above goals, the Capital Improvement Grant Program is more specifically directed toward:

- the improvement of mass transportation services throughout the State through the provision of modern and comfortable equipment and facilities,
- the improvement of mass transportation systems' financial positions by stemming rising operating costs and losses of patronage through the introduction of more economical and attractive new equipment and facilities, and
- the maximization of Federal matching funding for assistance of mass transportation in Illinois as authorized by the Federal Urban Mass Transportation Act of 1964, as amended, and other Federal legislation.

DEFINITIONS

Department: The State of Illinois Department of Transportation.

District: The Authority created pursuant to the "Metropolitan Transit Authority Act", approved April 12, 1945, as amended (the Chicago Transit Authority); Any Mass Transit District created pursuant to the "Local Mass Transit District Act", approved July 21, 1959, as amended; any District created pursuant to the "Urban Transportation District Act", approved July 31, 1969; or any authority, commission or other entity which by virtue of an interstate compact approved by Congress is authorized to provide mass transportation in Illinois.

Facilities: All real and personal property used in or appurtenant to a mass transportation system. This includes but is not limited to: stations, garages and repair facilities; commuter parking lots; passenger shelters; track and right-of-way; railroad and rapid transit bridges and structures; all appurtenant equipment such as signalling and power distribution systems; and, all rolling stock including railroad commuter cars, rapid transit cars, buses, and emergency and service vehicles.

Federal Application: An application to the appropriate Administration of the United States Department of Transportation for Federal grant assistance in providing capital facilities for use in public transportation made under the Urban Mass Transportation Act of 1964, as amended.

Mass Transportation: Transportation provided within the State of Illinois by rail, bus, or other conveyance, available to the general public on a regular and continuing basis. This includes regular city and suburban transit operations, rapid transit services, and commuter rail services. It does not include school bus, charter, or sightseeing services.

Municipality: Any city, village, or incorporated town.

Net Project Cost: The total cost of the proposed project less any anticipated revenue financing.



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Private Bus Carrier: Any corporation, partnership, association or person authorized pursuant to Illinois Commerce Commission certification or contract with a municipality to provide mass transportation in the form of bus passenger service in Illinois.

Private Rail Carrier: Any corporation, partnership, association or person authorized pursuant to Illinois Commerce Commission certification to provide mass transportation in the form of rail passenger service in Illinois.

Regional Transportation Authority: The Authority created pursuant to the "Regional Transportation Authority Act", approved at referendum on March 19, 1974.

Revenue Financing: That portion of the project cost which can be financed from the sale of equipment or facilities to be replaced.

Secretary: The Secretary of the Department of Transportation of the State of Illinois.

UMTA: The Urban Mass Transportation Administration of the United States Department of Transportation.

APPLICANT ELIGIBILITY AND RESPONSIBILITY

An application may be made by one applicant or two or more eligible applicants acting together. Eligible applicants are:

- a. Chicago Transit Authority
- b. Districts (see DEFINITIONS)
- c. Municipalities
- d. Private Bus Carriers
- e. Private Rail Carriers
- f. Regional Transportation Authority

All eligible applicants may apply for a Capital Improvement Grant. However, private carriers will be encouraged to apply for a grant through a public intermediary since the Federal program requires that the applicant be a public body. Any agreement between a public body sponsoring an applicant and a private carrier which concern the capital project must be approved by the Division of Public Transportation. For example, a lease agreement between the applicant and the operator concerning use of project facilities would have to be approved.

The applicant sponsoring a capital project must be legally, financially and administratively competent to initiate and execute the project. A legal opinion must be supplied by each applicant to establish eligibility. The officers of the applicant and persons authorized to deal with the Department must be identified as part of the application procedure. The applicant will also be required to furnish information on organizational structure and show the capabilities to undertake a Capital Improvement Project. Certification will be required from the applicant on compliance with Federal Statutes on civil rights.

When ever necessary, the applicant shall provide coordination at the local level and arrange for public hearings when required. Problems such as contacting municipal officials, co-ordinating local response, and obtaining necessary financial support and other contributory assets or services are expected to be done by the local persons involved.

FUNDING

Capital Improvement Grants can be made for projects which create new facilities or which retain, upgrade, or expand present facilities and services. These include the acquisition, construction, reconstruction or improvement of any rapid transit, railroad, bus or other mass transportation facility and any equipment used in connection therewith. Examples include the purchase of new buses, commuter railroad cars, commuter parking lots, capital reconstruction and improvement of existing rapid transit or commuter railroad systems (e.g., electrification, signalling and yard facilities), station facilities, maintenance facilities, and extensions of existing lines or construction of new lines and facilities. Ineligible projects include fare subsidies, operating expenses, maintenance and service costs, and any other costs which are not capital in nature.

Project costs and obligations incurred prior to project approval by the State are ineligible for grants.

The various provisions of the Capital Improvement Grant Program are described below.

1. Capital Grant Program - 2/15 State funding, 1/15 local Illinois Revised Statues (1973) Chapter 127, § 49.19 (6)

This provision represents the primary funding mechanism of the Capital Improvement Grant Program. It supplements the Federal capital grant program by providing State funds for up to 2/3 of the required non-Federal share of a capital grant project. This basically means that the Federal Government will provide 4/5 of the net project cost and the State two-thirds of the remainder (2/15 of the project cost). One local dollar will therefore generate fourteen additional State and Federal dollars.

The non-Federal contribution must be in cash or cash equivalent contributions, which may include the direct contribution to the project of labor, materials, land which has not previously been designated for transit purposes, or other property of ascertainable value. (If the Federal grant is for less than 4/5 of the project cost, the amount of the State share will be subject to negotiation between the State and the applicant. When and if additional Federal funds are awarded to the project, the amount of the grant in excess of 2/3 of the remaining non-Federal share shall be returned to the State.)

There are a number of variations to this basic type of grant which are explained below.

2. Capital Grant Program - 5/6 State funding provision,
1/6 local Illinois Revised Statutes (1973)
Chapter 127, § 49.19 (7)

This provision allows the State to provide up to five-sixths of the project cost for capital projects which are eligible for Federal funding, but for which funds have been delayed. When Federal funds become available, funds in excess of the State's normal 2/15ths share must be returned to the State. The legislation allows this type of grant only for projects which are essential to the maintenance of a sound mass transportation system as determined by the Secretary.

3. Capital Grant Program - 2/3 State funding provision,
1/3 local Illinois Revised Statutes (1973)
Chapter 127, § 49.19 (8)

Capital projects which are not eligible for Federal funds may be funded by the State up to 2/3 of the project cost. Since most carriers are able to receive Federal funds through public intermediaries, and because the State program must maximize the use of Federal funds available to Illinois, this provision will be used only when Federal funds cannot be obtained and the applicant shows that a dire need exists.

4. "Emergency" Grant Provision - Illinois Revised
Statutes (1973) Chapter 127, § 49.19 (9)

This provision is designated to permit funding of proposed projects in excess of the State's normal share where an extreme necessity for such projects exists and the applicant is unable to provide or obtain its local matching share. Projects eligible for such funding must be essential for the maintenance of a sound mass transportation system. Funds available under this provision are limited to an aggregate of 5% of the total amount of capital grants for mass transportation awarded each year. The emergency need for such funds must be determined by the Secretary.

5. "Soft Match" Capital Grant Provision - Illinois
Revised Statutes (1973) Chapter 127, § 49.19(10)

The Federal program requires that the non-Federal share be in cash, or in limited cases, cash equivalent contributions to the project. There are many communities and carriers which cannot generate sufficient matching funds, even though the State would assume two-thirds of the non-Federal share. This could preclude some communities or carriers from receiving any Federal funds. The State program has been designed to overcome the problem of an inability to obtain a local matching share while retaining the essential features of the matching concept. Referred to as the "soft match" approach, the State program recognizes types of local commitments beyond those recognized by the Federal program.

Basically, there are three methods for obtaining "soft match" credits. Each of these provisions can help communities or transit systems meet their local matching share requirements by providing additional State funding up to twice the amount of the applicants "soft match" credits. The three methods of obtaining "soft match" credits can be described as follows:

a. Subsidy Credits -

Monies received from a municipality, district or county which are used to meet operating expenses or debt service requirements are eligible for a soft match credit if these monies were received after January 1, 1968. Monies received by an applicant which were, or will be used for capital expenditures are not eligible for this soft match credit. If the applicant is a mass transit district, or a system owned by a municipality, the taxes received and applied to its operating expenses, or any income from property taxes, motor fuel taxes, or other tax sources which were applied to mass transportation or which were expended on behalf of mass transportation, are eligible for soft match credit.

b. Average Annual Capital Investment Credit -

(1) An amount equal to the average annual capital investment made by the applicant, or by a municipality or county on behalf of the applicant, for the acquisition, construction, extension, reconstruction or improvement of mass transportation facilities between January 1, 1964 and December 31, 1970 is eligible for soft match credit.

(2) One-seventh of any payments made by the applicant, or by a municipality or county on behalf of the applicant, after December 31, 1970 toward the non-Federal share required by the terms of a Federal capital grant approved before January 1, 1971 is eligible for soft match credit.

c. Facilities Transfer Credit -

The value of any mass transportation facility or equipment whose title has been transferred by a private carrier, municipality or county to a municipality or district is eligible for soft match credit.

An example may clarify how a typical capital improvement grant might work. Assume a total project cost of \$900,000 for the acquisition of twenty new buses for replacement of existing equipment. The Federal capital grant program would provide 4/5 or \$720,000. Of the remaining \$180,000 non-Federal share, the State would provide \$120,000 under Section 49.19 (6) and the local community would have to provide the remaining \$60,000 in cash (a hard match). However, under the soft match provisions of Section 49.19 (10) the State can provide a grant of up to twice the amount of a soft match credit. If, therefore, the transit system had a soft match credit of \$90,000 (e.g., for its average annual investment from 1964-1970), the State could make a grant of up to \$180,000 which would then make up the entire non-Federal share required. However, if the soft match credit was less than \$90,000, the grant would work as follows (assume a soft match credit of \$75,000):

(a)	Non-Federal matching share required	= \$180,000
(b)	State soft match grant -- \$75,000 x 2 Section 49.19 (10)	= <u>150,000</u>
(c)	Remaining non-Federal share required (a) minus (b)	= \$ 30,000
(d)	State 2/3 grant -- \$30,000 x 2/3 Section 49.19 (6)	= <u>20,000</u>
(e)	Local share required-(c) minus (d)	= \$ 10,000
(f)	Total State Share -- (b) plus (d)	= 170,000
(g)	Total Local Share -- (e)	= <u>10,000</u>
(h)	Total non-Federal share -- (f) plus (g) = (a)	= \$180,000

The law limits the use of Soft Match Grants to capital projects which do not constitute major new additions or extensions to existing service or facilities. Those portions of the total accumulated soft match credits that are used toward Soft Match Capital Grants cannot be used again for matching purposes. The Average Annual Capital Investment Credit is a fixed amount for each applicant, and will be exhausted as applications are made for Soft Match Capital Grants. The Subsidy Credits, in contrast, are open-ended in that any operating or debt service subsidies paid to a carrier at a future date will create additional soft match credits.

In no case shall a single grant which utilizes soft match credits exceed the project cost where Federal funds are not involved, or the non-Federal share of the project cost where Federal funds are involved.

6. "No-Match" Capital Grant Provision - Illinois
Revised Statutes (1973) Chapter 127, § 49.19 (11)

This provision permits funding in excess of the State's normal share for mass transportation systems owned by municipalities and for districts other than the Chicago Transit Authority and Urban Transportation Districts. Funds available under this provision are limited to an aggregate of 10% of the total amount of capital grants for mass transportation awarded each year.

7. "RTA Special Funding" Provision - Added to Illinois Revised Statutes (1973) Chapter 127, Section 49.19 as subsection (12) by Public Act 78-3rd S.S.-18 (Senate Bill 46), effective March 19, 1974.

This provision provides a method of funding up to 100% of net project costs from the \$75 million set aside for grants for mass transportation equipment in the six counties under the RTA jurisdiction but not including the City of Chicago.

In no case shall this funding exceed the project cost.

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GRANT APPLICATION PROCESS

If this application is eligible for Federal funding, simultaneously with the filing of a preliminary application with the Department the applicant should file a preliminary application with the United States Department of Transportation, Urban Mass Transportation Administration (UMTA). Preliminary application for a State capital grant is made by providing the information requested in the section "Application Instructions" of this booklet. This information, and any additional information the applicant feels would be useful in evaluation by the Department, should be included. Prior to filing an application, the applicant is welcome to discuss his grant request with personnel at the Division of Public Transportation.

It is not necessary for the applicant to retain the services of any person, firm, or organization to assist in obtaining State financial assistance. Grant funds may not be used to pay fees or commissions to brokers or negotiators for services in connection with the submission or processing of an application for financial assistance. Personnel from the Division of Public Transportation are available to provide assistance if needed.

The Department will acknowledge receipt of each application and furnish comments concerning the eligibility of the proposed project. Acknowledgement of the application is an assurance that the Department will review and consider the application. It does not obligate the Department to approve the project, nor does the submission of an application establish a contract between the applicant and the State of Illinois. Nevertheless, the Department considers the application as representing local intent to finance and undertake the proposed project promptly if approved.

In the course of the application review, the Department may require the applicant to file certain supporting documents, auxiliary material, and other items. The nature of these documents will vary depending upon the particular project and will be specified by the Department. All applications for capital assistance must take into consideration the transit needs of the handicapped and elderly.

When the Department is satisfied that all information and documents necessary and relevant to the application have been submitted, a final review of the application will be undertaken. Projects will be reviewed on the basis of the needs of the mass transportation system under consideration, on the basis of other State mass transportation needs and priorities, and in the light of available State and Federal grant monies. If the project review is favorable, the applicant will be requested to file a public notice. Upon receipt of the publisher's certification of publication, the application will be considered final.

Project Execution

The applicant will be notified when a project is approved, and an Approved Project Budget will be furnished. The Department and the applicant will then enter into a grant agreement specifying the terms and conditions of the grant.

The grant agreement will include general regulations on project expenditures, accounting of funds, insurance, documentation and financial studies, auditing and inspection requirements, and Department approval of contracts and subcontracts. In addition the agreement will include clauses dealing with civil rights, competitive bidding, and conflict of interests. The applicant will also be expected to abide by the regulations set forth in the Division's "Procedural Guide for Grantees" (July 1974).

If project costs change, (as for instance on receiving construction bids) and this results in changes in State participation, it may be necessary to submit an amended application and execute a grant agreement amendment acknowledging those cost changes, if approved. Supplemental applications and agreement amendments will be processed on an individual basis in the same manner as the original application.

Payment by the Department will be based on the Approved Project Budget. Costs incurred prior to project approval are ineligible as project costs, except as specifically authorized by the Department.

REGIONAL AND STATE PLANNING AGENCY REVIEW

It is the policy of the Department and of UMTA to require that all capital grant applications involving Federal funds be submitted for review and comment by both the State clearinghouse and the regional or metropolitan clearinghouse. These clearinghouses will inform all other appropriate agencies or local governments, examine the project from the comprehensive planning point of view, and arrange for any necessary follow-up conferences with the applicant and interested agencies or local governments.

When the applicant has prepared a preliminary application, he should complete the form entitled "Letter of Intent" (see "Illinois Notification and Review Procedure" guide at back of booklet) and send copies to the appropriate substate clearinghouse.

The final application must include copies of comments received.

These procedures will fulfill the requirements of Title IV of the Demonstration Cities and Metropolitan Development Act of 1966 and of the Intergovernmental Cooperation Act of 1968 and Section 204, Office of Management and Budget, Circular A-95 Revised.

APPLICATION INSTRUCTIONS

All applicable information requested in the instruction statements (below) should be supplied in the preliminary application.

Exhibits should be numbered to correspond with instruction statements. Exhibits which can be explained in a paragraph or two may be submitted on the same page with other exhibits, but legal opinions and other lengthy documents should appear separately. Letter-sized paper should be used, wherever possible, and an original and one copy of the application must be submitted.

The applicant is reminded that costs incurred in the preparation of an application are not eligible for reimbursement.

PART ONE

1.0 Application Form

The first page of the application for State funds should be the form "Application for Capital Grant". (See Exhibit 1.0)

1.1 Simultaneous UMTA Application

If this application is the preliminary application for a project which is eligible for Federal monies, the applicant shall simultaneously with his filing of this application file his preliminary application with the United States Department of Transportation, Urban Mass Transportation Administration, for a Federal Capital Grant. A copy of the UMTA application and a copy of each piece of correspondence with UMTA which deals with that application shall also be filed with the State application.

1.2 Federal Ineligibility (For applications made without simultaneous application for a Federal Capital Grant.)

If the applicant has previously applied for Federal funds and is not eligible, attach documentation showing such ineligibility and showing that all efforts have been made to establish eligibility.

1.3 Reference to Previous Application

If any previous application for State funds has been made for the benefit of the mass transportation system for which this application is made, attach the names of the applicants and the dates of application.

1.4 Amended Application

If this is an amended application for the project, attach:

- a. Explanation of the changes in the application.
- b. Resolutions passed by the governing body of the applicant and of the operator, if applicant and operator are not the same entity, authorizing the amended application.

(All resolutions, documents, schedules and exhibits to be submitted in support of this grant request need not be attached if their materials remain unchanged from the previous application. The applicant may indicate for each such exhibit that the previously submitted data are still applicable.)

1.5 Joint Application

If this application is made jointly by two or more organizations eligible for State grants, attach:

- a. The name and address of each co-applicant.
- b. A brief statement of the interest of each co-applicant in the application.
- c. All agreements between the co-applicants.

(All resolutions, documents, schedules, and exhibits required in support of this application are to be submitted by each co-applicant insofar as appropriate.)

1.6 Certification of Applicant Eligibility

Attach an opinion by qualified counsel that the applicant is legally organized and empowered (eligible) to apply for a grant under the legislation applicable to this request. (See sample format - Exhibit 1.6).

1.7 Authorization for a Grant Application

Attach a copy of the applicant's board resolution, ordinance, or other authorization for the filing of this application for State aid. (See sample format - Exhibit 1.7.)

1.8 Applicant's Officers and Representative

Attach the names and addresses of the officers of the applicant, and their respective offices. Indicate the name(s) and address (es) of the person (s) authorized to represent the applicant in matters pertaining to this application.

1.9 Identification of the Operator

If the applicant is not the operator of the mass transportation facilities or services for which this grant request is made, attach:

- a. The name and address of the operator.
- b. The names and addresses of the operator's officers and their respective offices.
- c. A statement by the governing body of the operator declaring agreement with the applicant for the application for funds, and declaring agreement with the applicant on all details of the project application.
- d. All agreements between the applicant and operator relating to the proposed grant project (e.g., lease agreements, contracts). Note: The operator shall agree, as part of the lease or other formal agreement, that any facilities which are owned by the operator or in which the operator has an ownership interest and which are being replaced by facilities funded by the State grant shall, if retained, be used solely for spare parts; or, if sold prior to project closeout, the net proceeds of such sale shall be applied to reduce net project cost; or if sold after project close-out, the net proceeds of such sale shall be proportionately returned to the State and Federal Governments.

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1. The first part of the report is a general introduction to the subject of the study. It discusses the importance of the problem and the objectives of the investigation. The second part of the report is a detailed description of the methods used in the study. This includes a description of the experimental apparatus, the procedures used for data collection, and the methods used for data analysis. The third part of the report is a discussion of the results of the study. This includes a description of the data obtained, a comparison of the results with previous studies, and a discussion of the implications of the findings. The final part of the report is a conclusion and a list of references.

2. The first part of the report is a general introduction to the subject of the study. It discusses the importance of the problem and the objectives of the investigation. The second part of the report is a detailed description of the methods used in the study. This includes a description of the experimental apparatus, the procedures used for data collection, and the methods used for data analysis. The third part of the report is a discussion of the results of the study. This includes a description of the data obtained, a comparison of the results with previous studies, and a discussion of the implications of the findings. The final part of the report is a conclusion and a list of references.

3. The first part of the report is a general introduction to the subject of the study. It discusses the importance of the problem and the objectives of the investigation. The second part of the report is a detailed description of the methods used in the study. This includes a description of the experimental apparatus, the procedures used for data collection, and the methods used for data analysis. The third part of the report is a discussion of the results of the study. This includes a description of the data obtained, a comparison of the results with previous studies, and a discussion of the implications of the findings. The final part of the report is a conclusion and a list of references.

PART TWO

2.1 Capital Project Description

Attach a concise description of the proposed project. Outline specific objectives (e.g., modernization of fleet, reduction of operating expenses) and list activities necessary to achieve these objectives (e.g., acquisition, construction, extension, refurbishing of facilities and equipment).

If equipment replacement is involved, specify by model number, serial number, type of vehicle, passenger capacity, and age what equipment is to be replaced. If the equipment is to be used for expanded service, indicate the use of equipment along routes. If the project is part of a modernization program requiring subsequent State funding, the program plan should be attached and a brief summary statement of its goals and purposes should be included in this exhibit.

2.2 Project Plans and Subcontracts

The applicant shall, insofar as possible, attach complete details of the proposed project, including work breakdown, structure, labor and time estimates, in addition to all plans, drawings, and specifications relating to the project.

The applicant shall submit details of all proposed subcontracts and details of work to be done by third parties. This information should be submitted as it becomes available.

2.3 Applicant's Administrative Capacity

Attach appropriate evidence to demonstrate that the applicant can adequately conduct or supervise the proposed project (e.g., successful completion of similar previous projects). Attach documentation of the applicant's planned supervision of the project activities, including planned retention of consultants, involvement of the staff of the operator or applicant, and the qualifications of all professional people involved in the project management and execution.

PART THREE

3.1 Description of Mass Transportation Services

Attach a brief description of the mass transportation and other related services (charter, school bus, etc.) provided by the operator. Include route maps, schedules, fare structure, equipment rosters, and ridership breakdowns by routes and passenger profile (i.e. percent student, percent elderly, etc.). Any additional information which will facilitate evaluation by the Department should be attached.

3.2 Description of Services for the Mobility Limited

Describe measures undertaken by the applicant (or operator) to facilitate the movement of the elderly or handicapped. This information should include special fares and routes and a description of special equipment or facilities for the physically handicapped.

Every reasonable effort must be made to increase accessibility for the handicapped and elderly in connection with renovations to existing structures. New construction must contain options for full accessibility. Vehicle specifications should also reflect the most modern available technology which improves access for the mobility limited.

3.3 Areas Served

Attach a comprehensive list of all counties, municipalities, or townships which are served by the operator's mass transportation services and facilities. Include ridership figures by sections within the service area, total population of the service area and a map which outlines the areas served.

3.4 Organizational Relationships

Attach a brief description of the coordination between the applicant and/or operator and all local planning bodies (such as NIPC, CATS, McLean County Regional Planning Agency as the case may be).

3.5 Operator's Competitors

Attach a listing of all other entities, by name and address, who are engaged in providing mass transportation services in the areas listed under Item 3.3.

3.6 Grant's Effect on Competition

If this grant will affect any competing transportation companies in the area(s) served by the operator, attach a concise description of the conditions that will be created by this grant, if it is approved, for the competing companies. If no companies are affected, indicate this fact.

3.7 Prior Planning Studies

A five year Transit Development Program is normally required of all capital grant applicants. These programs must include the following elements: an evaluation of existing conditions, a five year program of anticipated needs and improvements, a schedule of priorities for implementing these improvements, and an estimate of five year operating and capital costs and funding sources. Technical and financial assistance is available from the State for the completion of Transit Development Programs.

Attach copies of completed planning and feasibility studies, if not already submitted, which show or relate to the significance of the proposed project or which recommend a specific implementation plan to accomplish the objectives stated for this project.

3.8 Planning Concurrences

Submit a letter from each of the appropriate city and/or regional planning bodies indicating their evaluation of the project regarding community and regional plans (see page 13 for A-95 Review procedure).

3.9 Environmental Impact

Submit data and analysis of any environmental impacts which the proposed project might have. Where no adverse impacts are anticipated, a statement indicating this fact should be submitted. Where unavoidable adverse impacts are anticipated, a detailed description of such impacts shall be provided. Additionally it will be necessary to list possible alternative actions with detailed descriptions of each alternative. An analysis of the environmental impacts of each alternative shall be submitted in such cases.

Where a project includes objections raised by Federal, State or local governmental bodies, or citizens action groups, a disposition of the issues involved shall be included in this section.

3.10 Marketing Efforts

The State program recognizes that equipment and facilities renewal and replacement is only part of the answer to the increasing costs and decreasing ridership problems of public transportation. Equally important is an effective marketing program which includes such functions as market research, promotion (advertising, etc.), public information activities, special pricing programs, customer relations activities, etc. These efforts are not superficial, but should be considered as an integral part of the day to day operation of a transit system.

Describe in general the operator's current marketing program. For example, what is done to determine unmet transit needs? What advertising or other promotional programs are used and what is their yearly budget? What public information activities exist? Are special fares used to attract special groups of transit users? How are potential users informed of existing services?

Describe any marketing plans to be implemented in the future.

PART FOUR

4.1 Project Budget

Submit an estimated project budget based on the fifteen categories shown below. The budget should be as detailed as possible and must list all items and their corresponding costs, within each of the fifteen categories, that are being applied for in this grant application. (See typical budget format, in sample Project Budget-Exhibit 4.1.)

1. Purchase of Rolling Stock (buses, rapid transit cars, locomotives, spare parts, etc.)
2. Purchase/Installation of Support Equipment (automobile, Office, security, fare collection, communication equipment, etc.)
3. Purchase/Installation of Service and Maintenance equipment (tow truck, tools, bus washer, fuel pumps, etc.)
4. Equipment Renovation and Improvements (rolling stock, fare collection, office, etc.)
5. Purchase of Transit System.
6. Real Estate Acquisition
7. Purchase of Other Property
8. Professional Services Contract (engineering and design, construction management and inspection, legal, appraisals, etc.)
9. Purchase/Installation of Facilities for Passenger Comfort, Safety and Information (shelters, benches, signs, etc.)
10. Demolition
11. Construction of Facilities
12. Rehabilitation/Renovation of Facilities
13. Right-of-Way Construction
14. Rehabilitation/Renovation of Right-of-Way
15. Grantee Staff and Force Account Work and Material

4.2 Local Funding

Submit copies of correspondence with local units of government dealing with inquiries and attempts to obtain sources of local funds, even if these attempts have not been successful.

Submit a statement indicating the sources of all local (non-Federal and non-State) funds required to finance the project (e.g., cash, labor-force account, materials, land).

Attach agreements with other bodies, if any, which will provide local matching monies to the applicant.

4.3 Grant Cash-Flow Budget

Submit a grant cash-flow budget for the project. Use the format shown in exhibit 4.3, located at the back of this booklet, to display expected expenditures by project quarters.

4.4 Operator's Tax Statements

If the operator is a private company, submit the operator's Federal income tax statements which cover the most recent three years.

4.5 Emergency Conditions - For application under the Emergency Funding Provision -- Section 49.19(9)

Supply documentation which adequately demonstrates:

- a. that the carrier is in an emergency situation such as an impending stoppage of service.
- b. that the applicant or carrier is financially unable to supply funds, or obtain them from local municipalities or counties, to finance the local portion of the project cost, and
- c. that the project is essential for the continuation of public transportation in the area.

4.6 Soft Match Eligibility - For applications made under the Soft Match Provision - Section 49.19(10)

Describe the costs, funding and public benefits of those portions of the grant eligible for "soft match" funding.

Attach documentation that the proposed project does not constitute a major new addition to or extension of present facilities or equipment, and thus qualifies under the "soft match" funding provision.

If Soft Match credits under sections 4.7, 4.8, and 4.9 were "earned" by someone other than the applicant but are to be used in connection with the project, they must be irrevocably assigned to the applicant by appropriate resolution or ordinance.

4.7 Soft Match - Subsidy and Applied Tax Credit since January 1, 1968 - For application under the Soft Match provision - Section 49.19(10)

List and certify on the schedule, Exhibit 4.7, provided at the back of these instructions all subsidies which the applicant or operator has received from municipalities, districts, or counties for the defrayment of operating expenses or debt service requirements since January 1, 1968, and all income from tax sources which the applicant or operator has applied to mass transportation operating or debt service expenses since January 1, 1968. Funds used for capital purposes should not be included.

4.8 Soft Match- Average Annual Investment For application under the Soft Match provision - Section 49.19(10)

List on the summary schedule, Exhibit 4.8, provided at the back of these instructions the annual net investment of the operator, by listing the net capital investments of the operator, or made on behalf of the operator by a municipality or county, for the acquisition, construction, extension, reconstruction, and improvement of mass transportation facilities between January 1, 1964 and December 31, 1970. This includes any payments made toward the non-Federal share of a Federal capital grant approved on or before December 31, 1970. (Indicate, on a separately footnoted page, those investments which were made by other entities than the operator.)

List on a separate sheet any payments made by the operator, or made on behalf of the operator by a municipality or county, after December 31, 1970 toward the non-Federal share required by the terms of a Federal capital grant, if this Federal grant received final approval on or before that date.

4.9 Soft Match - Facilities Transfer Credit For application under the Soft Match provision - Section 49.19(10)

List and certify on the schedule, Exhibit 4.9, provided at the back of these instructions the value of any mass transit facilities which have been transferred from a carrier, municipality or county to a municipality or district. The transfer must have been a donation and must include transfer of clear legal title to be eligible for this credit.

PART FIVE

5.1 Civil Rights Compliance

Attach a certified copy of the applicant's board resolution, ordinance or other authorization that the applicant will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended. (See sample format - Exhibit 5.1)

5.2 Public Notice

The Division of Public Transportation will inform the applicant when the public notice should be published. The application cannot be considered final until at least five days after the public notice has been published. (See sample format - Exhibit 5.3)

5.3 Public Hearing

Public hearings for projects will be required where the nature of the project dictates this action. In general, a public hearing will be required where the project could possibly adversely affect other parties or where property acquisition is involved. The public hearing would be held for the purpose of allowing comments on the application. A complete application should be on file for inspection for a period of at least 14 (fourteen) days prior to such a hearing. Where any adverse comment is received

at such a hearing, disposition of such comments should be included in the applicants' final submittal.

The State public hearing can be held jointly with the Federal public hearing as long as the procedures set forth above are followed.

APPLICATION FOR CAPITAL GRANT - EXHIBIT 1.0

APPLICANT _____

GRANT APPLICATION NUMBER _____

DATE RECEIVED _____

The Applicant hereby applies to the Illinois Division of Public Transportation for a Capital Improvement Grant, under the Transportation Bond Act. Required resolutions, documents, schedules, and exhibits in support of this grant request are attached and are to be considered a part of this application.

Project Description (briefly describe the proposed project).

Gross Project Cost	\$ _____
Deduct: Revenue Financing	\$ _____
Net Project Cost	\$ _____
Federal Grant Requested	\$ _____
State Grant Requested	\$ _____
Local Matching Share	\$ _____

Application is made for:

\$ _____ under the 2/15 State funding, 4/5 Federal funding provision -- Section 49.19(6)

\$ _____ under the 5/6 State funding, Federal eligibility provision -- Section 49.19(7)

\$ _____ under the 2/3 State funding-no Federal funds provision Section 49.19(8)

\$ _____ under the Emergency funding provision - Section 49.19(9)

\$ _____ under the "Soft Match" funding provision - Section 49.19(10)

\$ _____ under the "No Match" Capital Grant provision - Section 49.19(11)

\$ _____ under the "RTA Special Funding" provision - Section 49.19(12)

I certify that the statements and the supporting documents contained herein are correct and complete.

By: _____ Date: _____
(signature)

Name (typed): _____

Title: _____ Phone: _____

Address: _____

SAMPLE FORMAT

EXHIBIT 1.6 APPLICANT'S LEGAL OPINION

Gentlemen:

I, the undersigned, am an attorney, licensed by and duly admitted to practice law in the State of Illinois and am counsel and attorney for the _____. In this capacity my opinion has been requested concerning the eligibility of the _____ for grant assistance under the terms of the Transportation Bond Act (Illinois Revised Statutes, 1973, Chapter 127, Section 701 et. seq.) and Section 49.19 of the "Civil Administrative Code of Illinois" (Illinois Revised Statutes, 1973, Chapter 127, Section 49.19). Please be advised that:

1. The _____ is a (district, municipality, carrier) under the laws of the State of Illinois, and is eligible to apply for, receive and use State grant funds under the foregoing statutes.
2. There are no provisions in the charter of the _____ or in the statutes of the State of Illinois, the United States of America, of any municipal or other local ordinances that preclude or prohibit the _____ from making application for or contracting with the State of Illinois for the purpose receiving a

mass transportation capital grant and using such grant in accordance with the purpose set forth in the application and applicable State and local laws and ordinances.

3. The undersigned has no knowledge of any pending or threatened litigation, in either Federal or State courts, which would adversely affect this application, or which seeks to prohibit the _____ from applying to or from contracting with the State of Illinois for the purpose of receiving a State capital improvement Grant.

Based upon the foregoing, I am of the opinion that the _____ is eligible as a recipient under the provisions of the statutes and ordinances cited herein and that it is fully empowered and authorized to apply for and accept a mass transportation capital grant from the Illinois Department of Transportation.

SAMPLE FORMAT

EXHIBIT 1.7 "Authorization for the filing of this Grant
Application"

C E R T I F I C A T E

I, (name of certifying officer), do hereby certify that I am the duly qualified and acting (title of certifying officer) of the (name and legal description of applicant) and as such (title of certifying officer) I am the keeper of the seal, records and files of the (name of applicant).

I do further certify that at a regularly constituted meeting of the (governing body -- Board of Trustees, Board of Directors, Executive Committee, etc.) of the (name of applicant) held on the _____ day of _____, 19____, at which (a quorum or all of the members) was (were) present and voting, a certain Resolution was (unanimously or by majority vote) adopted in full accordance and conformity with the (By-Laws of the applicant, ordinances of the applicant or the statutes of the State of Illinois) as made and provided, and that the following is a full, complete and true copy of the pertinent provisions of said Resolution:

"BE IT RESOLVED by the (governing body) of the (name of applicant):

1. That an application be made to the Division of

Public Transportation, Department of Transportation, State of Illinois, for a capital improvement grant to acquire funds to provide (brief description of the project);

2. That (name and/or title) of the (name of applicant) is hereby authorized and directed to execute and file on behalf of the (name of applicant) such application; and
That (name and/or title) of the (name of applicant) is authorized to furnish such additional information as may reasonably be required by the Division of Public Transportation in connection with the aforesaid application for said grant.

I further certify that the original of the complete said Resolution is on file in the records of the (name of applicant) in my custody.

I do further certify that the foregoing Resolution remains in full force and effect and has not been rescinded, amended or altered in any manner since the date of its adoption.

IN WITNESS WHEREOF, I have hereunto affixed my official signature and the seal (if appropriate) of the (name of applicant), this ____ day of _____, 19__.

(SEAL)

Title

TYPICAL BUDGET FORMAT

Applicant _____

Project Budget - Exhibit 4.1

1. Purchase of Rolling Stock	
a. 3 new 45-passenger air-conditioned diesel buses @\$50,000	\$150,000
b. 2 used 45-passenger buses @\$15,000	30,000
c. 1 spare engine-transmission set	<u>6,500</u>
CATEGORY TOTAL	<u>\$186,500</u>
2. Purchase/Installation of Service Equipment	
a. 1 heavy duty wrecker truck	\$ 17,000
b. 2 air compressors @\$1,500	3,000
c. 1 1" air impact wrench	550
d. 1 engine valve refacer set	<u>1,680</u>
CATEGORY TOTAL	<u>\$ 22,230</u>
Sub-Total	\$208,730
Contingencies	<u>\$ 20,873</u>
GROSS PROJECT COST	\$229,603
Deduct: Revenue Financing*	<u>5,000</u>
NET PROJECT COST	<u>\$224,603</u>

* These items should be listed and explained on a separate attachment.

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STATE OF ILLINOIS
DIVISION OF PUBLIC TRANSPORTATION

APPLICANT _____

GRANT APPLICATION, Exhibit 4.3

GRANT-CASH FLOW BUDGET

BUDGET QUARTER	PROJECT OR SERVICE ACCOMPLISHMENTS OR OTHER RESULTS (Percent of Project Completion)	TOTAL PROJECT FUNDS NEEDED
1		\$
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		

TOTAL \$ _____

Prepared By: _____ Date: _____

Certified By: _____

Title: _____

APPLICANT _____

Income Used For Operating Or Debt Service Expenses From
Subsidies And Taxes Since January 1, 1968

[illegible]

TOTAL \$

- 1 Specify the source of funds, e.g., property taxes, motor fuel taxes, etc.
- 2 Name the agency or government unit which provided the subsidy
- 3 Funds used for capital purposes should not be included.

Prepared By: _____

Date: _____

Certified By:

Title: _____

STATE OF ILLINOIS
DIVISION OF PUBLIC TRANSPORTATION

APPLICANT _____

GRANT APPLICATION -- EXHIBIT 4.8

Net Capital Investment Made in Facilities and Equipment Partially
Or Wholly Applicable to Mass Transportation in Illinois for the
Seven Years Ended December 31, 1970

SUMMARY

<u>Applicable to Calendar Year</u>	<u>Gross Additions</u>	<u>Less Amounts From Federal Or State Funds</u>	<u>Less Dispositions¹</u>	<u>Net Capital Investment</u>
1964	_____	_____	_____	_____
1965	_____	_____	_____	_____
1966	_____	_____	_____	_____
1967	_____	_____	_____	_____
1968	_____	_____	_____	_____
1969	_____	_____	_____	_____
1970	_____	_____	_____	_____
TOTAL				_____

¹ Trade-in allowance, proceeds from sale, salvage value, etc.

Prepared By: _____ Date: _____

Certified By: _____

Title: _____

APPLICANT _____

(After July 2, 1972)

[illegible]

TOTAL \$ _____

Date: _____

Title: _____

SAMPLE LANGUAGE

Exhibit 5.1 "Civil Rights Compliance"

I, (name, title) of the (applicant), do hereby certify that at the regular meeting of the (governing unit, e.e. Board of Trustees or Directors, Executive Committee, etc.) of the (applicant), held on (date), at which all of the members were present, the following resolution was unanimously adopted:

"RESOLVED, that the (applicant) will comply with Title VI of the United States Civil Rights Act of 1964 (P.L. 88-353) as the same is now or hereinafter may be amended and that (applicant) will not discriminate against any employee or applicant for employment because of race, creed, color, age, sex, or national origin. The Grantee will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, creed, color, age, sex, or national origin. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

I further certify that the foregoing resolutions are in full force and effect.

Dated this _____ day of _____, 19____.

SEAL

(Name, Title)

(Applicant)

SAMPLE FORMAT - EXHIBIT 5.3

P U B L I C N O T I C E

Notice is hereby given that on _____ (date)

_____ (name of applicant)

_____ (address)

will file a final application with the Illinois Department of Transportation, Division of Public Transportation for a capital grant in the amount of \$ _____ for the purpose of _____

The capital grant is being requested under the provisions of Section 49.19 of the Civil Administrative Code of Illinois Revised Statutes, 1973, Chapter 127, Section 49.19).

Comments in writing by interested parties will be received by the Illinois Department of Transportation, Division of Public Transportation, Room 1002, 300 North State Street, Chicago, Illinois prior to 5:00 PM _____ (date)

and will be considered in evaluating said application.

A copy of the application may be examined during regular business hours at the Office of the Applicant as shown above or the Division of Public Transportation. The estimated net project cost of \$ _____ is to be

funded by a \$ _____ Federal grant, \$ _____

State of Illinois grant, and \$ _____ from _____.

BY: _____

TITLE: _____

CAPITAL GRANT LEGISLATION

This section sets forth the statutes authorizing the Illinois Mass Transportation Grant Program as of October 1, 1972. The basic authorizing law is found in the Illinois Revised Statutes, (1973) Chapter 127, Section 49.19.

The reader is directed to the "Legislative References" section contained at the back of this booklet for relevant constitutional and statutory references.

SECTION 49.19 GRANTS. MASS TRANSPORTATION

- (1) For the purpose of mass transportation grants the following definitions apply: DEFINITIONS

- (a) "Mass Transportation" means transportation provided within the State of Illinois by rail, bus, or other conveyance, available to the general public on a regular and continuing basis.
- (b) "Carrier" means any corporation, authority, partnership, association, person or district authorized to provide mass transportation within the State.
- (c) "Facilities" comprise all real and personal property used in or appurtenant to a mass transportation system.
- (d) "Municipality" means any city, village, or incorporated town.
- (e) "District" means all of the following:
 - (1) Any district created pursuant to the "Local Mass Transit District Act", approved July 21, 1959, as amended;

(2) The Authority created pursuant to the "Metropolitan Transit Authority Act", approved April 12, 1945, as amended;

(3) Any authority, commission or other entity which by virtue of an interstate compact approved by Congress is authorized to provide mass transportation;

(4) Any district created pursuant to the "Urban Transportation District Act", approved July 31, 1969.

(2) Grants may be made to municipalities, districts, and carriers for the acquisition, construction, extension, reconstruction and improvement of mass transportation facilities. Grants shall be made upon such terms and conditions as in the judgement of the Secretary are necessary to ensure their proper and effective utilization. USE OF FUNDS

(3) The Department shall make grants under this Act in a manner designed, so far as is consistent with the maintenance and development of a sound mass transportation within the State, to: CRITERIA FOR AWARDING GRANTS

- (a) maximize federal funds for the assistance of mass transportation in Illinois under the Urban Mass Transportation Act of 1964, as amended, and other federal acts;
- (b) facilitate the movement of persons who because of age, economic circumstance or physical infirmity are unable to drive;
- (c) contribute to an improved environment through the reduction of air, water, and noise pollution.

- (4) Grants may be made for capital expenditures or obligations for capital projects, incurred prior to the date of application for the grant, if such expenditures or obligations were incurred as part of a federal grant project approved after December 31, 1970, under the Urban Mass Transportation Act of 1964, as amended, and provided that the application for such federal grant was made prior to the effective date of this amendatory Act.
- GRANTS FOR
PRIOR
PROJECT COSTS--
APPROVED
FEDERAL
PROJECTS
- (5) The Secretary shall establish procedures for making application for making application for mass transportation grants. Such procedures shall provide for public notice of all applications and give reasonable opportunity for the submission of comments and objections by interested parties. The procedures shall be designed with a view to facilitating simultaneous application for a grant to the Department and to the federal government.
- PUBLIC NOTICE:
SIMULTANEOUS
FEDERAL
APPLICATION
- (6) Grants for mass transportation projects to which a federal grant is made shall not exceed two-thirds of the amount required under the federal grant to be provided from non-federal funds except as provided by subsections 9 and 10. If the federal grant for a mass transportation project is limited to one-half of the net project cost as provided in section 5 of the Urban Mass Transportation Act of 1964, as amended, pending the completion within a three year period of the planning requirements specified by section 4(a) of that Act, then when and if additional federal funds are awarded to the project the amount of non-federal share shall be returned to the Transportation Fund.
- STATE MATCHING
LIMITS
- (7) If a mass transportation project is determined by the Secretary to be eligible to receive federal assistance and an application for such project has been made to the appropriate federal officers but such federal

grant is not made, or is delayed, and if the Secretary determines that the project is essential for the maintenance of a sound transportation system and should proceed without delay, the grant may be made for an amount up to five-sixths of the project cost. When and if federal funds are made available to the project the amount of the grant in excess of two-thirds of the non-federal share shall be returned to the Transportation Fund.

- (8) Grants for mass transportation projects that do not qualify under subsection (7) of this section and which do not receive a federal grant shall not exceed two-thirds of the project cost except as provided by subsection 9 and 10.
- (9) Grants in excess of the limitations of subsections 6, 7, and 8 may be made upon a determination by the Secretary that an emergency or failure of revenues exists, that the district or carrier is unable to provide funds for the remaining portion of the project cost or obtain such funds from municipalities or counties within the region in which it operates, and that execution of the project is essential for the maintenance of a sound mass transportation system, provided that the total amount of grants made pursuant to this subsection 9 in excess of the limitations of subsections 6, 7, and 8 shall not exceed 5 per cent of the grants made in any fiscal year.
- (10) For projects which do not constitute major new additions to or extensions of existing services and facilities, grants may be made without regard to the limitations of subsections 6, 7, and 8 in an amount which shall not exceed twice the sum of the following.
- EMERGENCY
GRANTS
- "MATCHING
CREDITS":

- | | | |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|
| (a) | Subsidies from municipalities, districts or counties to defray operating expenses or debt service requirements of the municipality, district or carrier made after January 1, 1968, provided such subsidies are not otherwise used for matching purposes; and | -for operating or debt service subsidies |
| (b) | The average annual investment made by the municipality, or by the district or carrier, or on behalf of the district or carrier by a municipality or county, for acquisition, construction, extension, reconstruction or improvement of mass transportation facilities between January 1, 1964, and December 31, 1970, and one-seventh of any payments made after December 31, 1970 towards the non-federal share required by the terms of a federal grant approved by the Secretary of the United States Department of Transportation prior to January 1, 1971, under the Urban Mass Transportation Act of 1964, as amended; and | -for average annual investment |
| (c) | The value of any mass transportation facilities or equipment transferred by a private carrier, municipality or county to a municipality or district. | -for facilities transfer |

In no case shall the grant under this subsection 10 exceed the project cost where federal funds are not involved, or the non-federal share of the project cost where federal funds are involved.

LIMIT OF
"MATCHING
CREDITS"
GRANTS

- (11) Grants in excess of the limitations of subsections 6,7, and 8 may be made to mass transportation systems owned by municipalities and to districts other than those created pursuant to the "Metropolitan Transit Authority Act," approved April 12, 1945, as amended, or the "Urban Transportation District Act," approved July 31, 1969, as amended,

"NO MATCH"
GRANTS

but shall not exceed 10% of the grants made in any fiscal year.

- (12) Grants in excess of the limitations of subsections 7,8 and 11 may be made from the \$75,000,000 bond authorization for mass transportation purposes for the counties of DuPage, Kane, Lake, McHenry and Will and that portion of Cook County outside of the City of Chicago provided in the "Transportation Bond Act", as now or hereafter amended. However, no such grant may be made under this subsection in excess of the project cost.

"RTA AREA"
GRANTS

SECTION 49.20

The Department at reasonable times may inspect the property and examine the books, records and other information relating to the nature or adequacy of services, facilities, or equipment of any municipality, district or carrier which is receiving or has applied for assistance under this Act. It may conduct investigations and hold hearings within or without the State. This section shall not affect the regulatory power of any other State or local agency with respect to transportation rates and services. Annual statements of assets, revenues and expenses and annual audit reports shall be submitted to the Department by each municipality, district or carrier receiving or applying for capital assistance from the State.

INSPECTION
OF RECORDS,
HEARINGS

LEGISLATIVE REFERENCES

1970 Constitution of Illinois -- Article XIII.

Section 7. PUBLIC TRANSPORTATION

"Public Transportation is an essential public purpose for which public funds may be expended. The General Assembly by law may provide for, aid, and assist public transportation, including the granting of public funds or credit to any corporation or public authority authorized to provide public transportation within the State."

.

Illinois Revised Statutes (1973) Chapter 127, Sections 701 through 711, as amended by P.A. 78-17, effective March 19, 1974. Transportation Bond Act. Authorizes the issuance of bonds for highway, aviation and mass transportation purposes.

Illinois Revised Statutes (1973) Chapter 127 Sections 49 through 51, as amended by P.A. 78-18, effective March 19, 1974. Authorizes a State Department of Transportation and outlines the structure for granting mass transportation grants.

STATE APPLICATION IDENTIFIER 1-8		CARD TYPE 9	STATE OF ILLINOIS LETTER OF INTENT Page 1								
10-11	APPLICANT PROJECT TITLE 12-71										
1											
2	APPLICANT AGENCY 12-45					DIVISION 46-79					
3	APPLICANT ADDRESS (street) 12-45					CITY 46-60		COUNTY 61-75		ZIP CODE 76-80	
4	CONTACT PERSON 12-45					AREA 46-48		PHONE 49-55		EXT 56-59	
5	line 1 12-71 PROJECT DESCRIPTION — NATURE, PURPOSE AND BENEFICIARIES (use 6 lines if needed)										
6	line 2 12-71										
7	line 3 12-71										
8	line 4 12-71										
9	line 5 12-71										
10	line 6 12-71										
11	PROJECT LOCATION CITY 12-45					PROJECT LOCATION COUNTY 46-79					
12	FEDERAL FUNDS			MATCHING FUNDS			OTHER FUNDS 44-51		TOTAL FUNDS 52-60		
	GRANT 12-19	OTHER 20-27		STATE 28-35	LOCAL 36-43						
13	TYPE OF <u>OTHER</u> <u>FEDERAL</u> FUNDS 12-45					TYPE OF <u>OTHER</u> <u>NON-FEDERAL</u> FUNDS 46-79					
14	FEDERAL PROGRAM TITLE 12-71										
15	FEDERAL AGENCY NAME 12-45					FEDERAL SUB-AGENCY 46-79					
16	FEDERAL CATALOG NUMBER 12-31			ACTION DATE 32-37		STARTING DATE 38-43		ENDING DATE 44-49			
				MO.	DAY	YR.	MO.	DAY	YR.	MO.	DAY
17	TYPE OF APPLICANT: (check the single most applicable box)										
	STATE	INTER-STATE	COUNTY	CITY	SCHOOL DISTRICT	SPECIAL UNIT	COMMUNITY ACTION	SPONSORED ORGANIZATION	OTHER		
	<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17	<input type="checkbox"/> 18	<input type="checkbox"/> 19	<input type="checkbox"/> 20		
	TYPE OF ACTION: (check as many boxes as apply to this action)										
	NEW GRANT	CONTINUATION GRANT	SUPPLEMENT GRANT	LOAN	INCREASE DURATION	DECREASE DURATION	CANCEL-LATION	INCREASE DOLLARS	DECREASE DOLLARS		
<input type="checkbox"/> 21	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26	<input type="checkbox"/> 27	<input type="checkbox"/> 28	<input type="checkbox"/> 29			
IS STATE PLAN REQUIRED?		IS PROJECT UNDER A95 JURISDICTION?		ENVIRONMENTAL IMPACT		FORM 240 APPROVAL					
YES	NO	YES	NO	YES	NO	YES	NO				
<input type="checkbox"/> 30	<input type="checkbox"/> 31	<input type="checkbox"/> 32	<input type="checkbox"/> 33	<input type="checkbox"/> 34	<input type="checkbox"/> 35	<input type="checkbox"/> 36	<input checked="" type="checkbox"/> 37				

How to Use the Letter of Intent

Please type or print all entries



3 0112 115505049

State Application Identifier—Leave blank, State Clearinghouse will assign a number.

Line 1—Applicant Project Title. A brief descriptive name of the project. Use location of the project title when feasible. For Example: "Altus Airport Expansion."

Line 2—Applicant Agency. The state agency, county, city, town or other unit of government authorized and making application for federal aid.

Division. When applicable, the sub-agency of the applicant responsible for administering the project, i.e., City Police Department.

Line 3—Applicant Address. Official mailing address of the applicant.

Line 4—Contact Person. The representative of the applicant, or the applicant, considered as legally authorized to act on behalf of the project, and his telephone number.

Lines 5 to 10—Project Description. A brief narrative description of the nature, purpose and beneficiaries of the project.

Line 11—Project Location City. The city or town primarily benefiting from the project. If the project will benefit a whole county or multi-county region write in *countywide* or *regionwide*. Do not name the county or region.

Project Location County. The name of the county primarily benefiting from the project or the county in which the impact city is located. If the project has multi-county benefits write in the word *regionwide*.

Line 12—Federal Funds-Grant. Enter total amount of money requested in the grant. Please use numbers ONLY. DO NOT USE dollar signs, commas or decimals. Your amount should reflect rounding to the nearest dollar and omit the cents. (Example: \$12,000.33 should be 12000).

Federal Funds-Other. Enter total amount of federal money received that is not considered a grant. This includes but is not limited to loans, payments, agreements and others. Please observe format for reporting money.

Matching Funds-State. Enter dollar

amounts as applicable observing reporting format.

Matching Funds-Local. Enter dollar amounts as applicable observing reporting format.

Other Funds. Enter total amount of money received from private donations, fellowships, etc., observing format for reporting money.

Total Funds. Enter dollar amounts as applicable observing reporting format.

Line 13—Type of OTHER FEDERAL Funds. When Line 12 "Federal Funds-Other" is used, please indicate on Line 13 the type of funding used. For Example: Ford Foundation, private donation, etc.

Line 14—Federal Program Title. Enter program title as listed in Office of Management of Budget (OMB) catalog of Federal Domestic Assistance. (Formerly O.E.O. Federal Domestic Assistance Catalog)

Line 15—Federal Agency Name and Federal Sub-Agency. Enter the administering federal agency and sub-agency listed in the OMB catalog, i.e., Department of Agriculture, FHA.

Line 16—Federal Catalog Number. If known, the Federal Catalog Number for the project as listed in the Federal Domestic Assistance Catalog.

Action, Starting, and Ending Dates. Enter if known.

Line 17—Type of Applicant. (Check most applicable box with an X only.)

State—an organizational unit of State government.

Interstate—an organizational unit established by two or more States to coordinate certain regional programs such as water pollution.

County—an organizational unit of the government of the county.

City—an organizational unit of the government of a city, town, township or other municipality.

School District—a specified school district.

Special Unit—a special district or other limited-purpose political subdivision of a State, county, or city other than a school district (include here such institutions as public colleges and universities and intrastate

regions such as water and sewer districts).

Community Action—a community action agency set up under Economic Opportunity Act of 1964 (amd).

Sponsored Organization—a public-purpose organization, other than an organizational unit of government that is a beneficiary under a plan or program administered by a State or a political subdivision of a State, county, or city and which is subject to approval by a Federal agency (e.g., Economic Development Districts).

Other—if the applicant is not covered by any of the previously mentioned types.

Type of Action—(check most applicable boxes with an X only).

New Grant—an action considered by the grantor to be an award of a new grant.

Continuation Grant—an action that constitutes a continuation action within a multi-year grant (e.g., the second year award under a five year project period grant).

Supplement Grant—an action that increases the Federal contribution in certain cases where the eligible applicant cannot supply the required match share of the basic Federal program (e.g., grants awarded under the Ozarks Regional Commission's program).

Loan—a request for a loan from a Federal agency.

Change in Existing Grant.

Increase in Duration—an extension of the period of time the grant is available.

Decreases in Duration—a reduction in the period of time the grant is available.

Cancellation—a cancellation of a previous grant request.

Increase (\$)—an increase in the dollar value.

Decrease (\$)—a decrease in the dollar value.

Is State Plan Required?—Check appropriate block with an X.

Is Project Under A-95 Jurisdiction?—Check block Yes.

Environmental Impact—Check appropriate block with an X.

Form 240 Approval—Check Block No.